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ADMINISTRATIVE AND FINANCIAL MATTERS

INSTITUTIONAL LINKAGE OF THE UNFCCC SECRETARIAT TO THE UNITED NATIONS

Note by the Executive Secretary

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GE.01-62754

I. INTRODUCTION

A. Mandate

1. At its fifth session, the Conference of the Parties(COP) by its decision 22/CP.5,[1] *inter alia*, approved the continuation of the institutional linkage of the Convention secretariat to the United Nations, subject to review not later than 31 December 2001, in consultation with the Secretary-General, with a view to making such modifications as may be considered desirable by both parties.

2. Similarly, the United Nations General Assembly, by its resolution 54/222 of 22 December 1999, *inter alia*, also approved the continuation of the institutional linkage of the Convention secretariat to the United Nations, as advised by the Secretary-General and approved by the Conference of the Parties at its fifth session and further requested the Secretary-General to review the functioning of this institutional linkage no later than 31 December 2001, in consultation with the Conference of the Parties to the United Nations Framework Convention on Climate Change, with a view to making such modifications as may be considered desirable by both parties, and to report thereon to the General Assembly.

B. Scope of the note

3. The present note provides a brief report on the institutional linkage of the Convention secretariat to the United Nations and how it has worked out to date. It has been prepared by the secretariat in consultation with the relevant offices of the United Nations. It concludes with a recommendation by the Secretary-General of the United Nations.

C. Possible action by the Subsidiary Body of Implementation

4. In the light of the recommendation by the Secretary-General, the Executive Secretary recommends that the Subsidiary Body for Implementation advise the Conference of the Parties at the second part of its sixth session to approve the continuation of the current institutional linkage of the Convention secretariat to the United Nations and related administrative arrangements for a further five year period, to be reviewed not later than 31 December 2006.

II. INSTITUTIONAL LINKAGE

5. It will be recalled, in this connection, that the institutional linkage of the Convention secretariat to the United Nations was initially approved by the Conference of the Parties by decision 14/CP.1, whereby it decided that the Convention secretariat should be institutionally linked to the United Nations, while not being fully integrated in the work programme and management structure of any particular department or programme. In terms of that decision, the COP also took note of, and provisionally accepted, the arrangements proposed by the Secretary-General of the United Nations for administrative support to the Convention secretariat.

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[1] See document FCCC/CP/1999/6/Add.1.

6. Reciprocal action was taken by the General Assembly at its fiftieth session (see General Assembly resolution 50/115 of 20 December 1995, and especially operative paragraphs 2-3 and 9-10 thereof).

7. In pursuit of the above decisions, the head of the Convention secretariat is appointed by the Secretary-General and is accountable to the Conference of the Parties. He reports to the Secretary-General of the United Nations on administrative matters through the Under-Secretary-General for Management, and on other matters through the Under-Secretary-General for Economic and Social Affairs.

8. No significant changes have since taken place in the substantive linkage. As regards administrative matters, the Executive Secretary has functioned within the scope of a broad delegation of authority which, over the years, and as reported to the Conference of the Parties at its fifth session, has adapted to changing circumstances and has resulted in a steadily greater assumption of administrative responsibility by the Convention secretariat. At the same time, and in consultation with the United Nations, a progressively larger portion of the administrative support charges levied for the reimbursement of administrative servicing costs has been re-allotted to the Convention secretariat.

9. It is felt that the institutional linkage, as explained below, has proven to be a useful tool in managing the Convention secretariat and has allowed flexibility in adapting to changing circumstances. It is therefore recommended that it be maintained for a further five-year period, subject to review not later than 31 December 2006.

10. Thus, as regards substantive support, the Executive Secretary will continue to benefit from the advice and policy support provided by the Department of Economic and Social Affairs and, through that department, from other programmes involved in different aspects of sustainable development. This linkage will, for example, enable the Convention secretariat to participate actively in the preparations for the forthcoming World Summit on Sustainable Development.

11. This arrangement will, as in the past, allow the Executive Secretary to maintain and further develop cooperation with other United Nations bodies for supporting the implementation of the Convention, such as with the United Nations Development Programme, the United Nations Environment Programme, the United Nations Institute for Training and Research, and others. Furthermore, arrangements to cooperate with other conventions, such as with the Convention on Biological Diversity and the Convention to Combat Desertification can continue and further develop in this framework.

12. As regards administrative support, the Executive Secretary, in agreement with the Department of Management, has gradually taken over most of the responsibility for financial and personnel administration of the Convention secretariat. A substantial part of the support costs is currently re-allotted back to the secretariat by way of financing specific posts or other administrative requirements of the secretariat. The remainder covers the cost of providing audit, payroll, investment, treasury and accounting services by the United Nations Office at Geneva. Further adjustments to this pattern are being considered, as necessary, as the Convention secretariat seeks to ensure self-sufficiency in administrative matters.

13. The objective, jointly pursued by the Department of Management and the Convention secretariat, has been to more clearly define the responsibilities of the Executive Secretary, in administrative matters, as well as his accountability respectively to the Conference of the Parties and to the Secretary-General. Thus, responsibility for authorizing and providing travel arrangements for the Convention staff is now vested in the Executive Secretary. He, or selected officers to whom he has delegated authority, either certify financial obligations or approve payments for goods received and services rendered. The Executive Secretary has broad authority, comparable to that of the head of a major programme at the United Nations, to approve purchases of equipment and services. On the personnel side, the administration of the Staff Rules in respect of staff of the Convention secretariat (including staff entitlements) rests with the Executive Secretary. The Secretary-General of the United Nations continues to retain his authority in disciplinary and appeal matters. On the financial side, audit, payroll, investment, treasury and accounting are provided on a cost-per-service basis by the United Nations Office at Geneva; in regard to accounting services, it is envisaged that this responsibility will also be transferred to the Convention secretariat before the end of 2002. In addition, the Department of Management provides, on request, advice on policy matters and on specific administrative issues.

14. In summary therefore, it is considered that the institutional linkage of the Convention secretariat to the United Nations, and the related administrative arrangements as they have developed, have provided and continue to provide a sound basis for the day-to-day functioning of the Convention secretariat. They clearly define the accountability of the Executive Secretary to the Conference of the Parties and to the Secretary-General and, at the same time, delineate the responsibility of the United Nations for providing the necessary support services as well as advice to the Executive Secretary when requested.

III. RECOMMENDATION

15. Accordingly the Secretary-General recommends that the General Assembly and the Conference of the Parties approve the continuation of the current institutional linkage, and related administrative arrangements, for a further five year period, to be reviewed by both bodies not later than 31 December 2006.

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REPORTS ON INTER-SESSIONAL ACTIVITIES

FURTHER WORK CONCERNING LEAST DEVELOPED COUNTRIES

Institutional development needs

Note by the secretariat

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GE.01-62432

I. MANDATE

1. The Conference of the Parties, at the first part of its sixth session, recommended that the least developed country (LDC) Parties provide information on their basic institutional needs for strengthening and, where needed, establishing national climate change secretariats/focal points, as well as on their training needs in negotiating skills and language, in order to develop the capacity for effective participation in the climate change process. The deadline for such submissions was 15 February 2001 (FCCC/CP/2000/5/Add.2, para. 6 (c)).

2. The Conference further recommended that the secretariat compile the information received under paragraph 1 above, and provide a preliminary estimate of the amount of funding needed to implement the above-mentioned activities, for consideration by the subsidiary bodies at their fourteenth sessions (FCCC/CP/2000/5/Add.2, para. 6 (d)).

II. SCOPE

3. Submissions were received from 29 Parties. The current document presents this information in tabular form, in order to enhance clarity and comparability. It should be noted that this document does not address the modalities of the provision of funding nor the administration of such funds to address the needs contained herein. This document is divided into two sections: the first section (III below) includes a compilation of the information received, while the second section (IV below) provides an indicative estimate of funding that would constitute a first step in addressing the institutional needs of the 46 LDC Parties to the UNFCCC. Although 17 LDC Parties did not provide submissions to the secretariat on this issue, an assumption was made that such needs would be communicated at a later phase, and this was taken into account in estimating the total funding needed.

III. COMPILATION OF INFORMATION

A. Institutional setting

4. All Parties reported having a national climate change focal point, which forms part of a governmental framework institution, for example, the Ministry of Environment. Six Parties reported that their climate change unit comprised one or two individuals responsible for coordinating the negotiations. Fifteen Parties reported having units containing three-six persons, four Parties reported having units with six-ten persons and four Parties with units of more than ten persons. In those cases where more than six persons formed the unit, some staff (three persons) were professionals who were employees of other entities who dealt with climate change as part of an inter-institutional collaborative effort, while the rest were administrative. In effect, all Parties reported that only one or at most two persons were involved in the actual UNFCCC negotiation process. Most Parties indicated that, in view of the increasing workload and meetings under the climate change process, more staff was needed for the negotiations.

B. Negotiating and language skills

5. All respondents indicated a need for improving negotiating skills of current negotiators in the UNFCCC process, as well as those of potential future negotiators in their climate change units. In this regard, while two persons were often cited as negotiators, the number requiring training varied between two and five (see table 1). Four Parties requested training for 8-15 persons. Those Parties whose mother tongue is not English (see table 2) indicated the need for English language training geared towards the negotiations, especially as climate change was a relatively new area and that international negotiations in this area require special language capacities. Some Parties explained that many in-session documents were produced in English only and that this, in addition to the fact that all contact group sessions are conducted in English, added to the need for English language skills.

C. Information technology

Hardware

6. Table 3 contains a list of the computer hardware currently available to the LDC Parties which reported on their existing information technology and their needs. Most countries reported having only one or two computers available in their climate change units. Computers running on Pentium II processors were the most reported by Parties. Only one Party reported the availability of a Pentium III computer. Computer speed, memory and age varied. One Party (Tuvalu) reported computer processor speeds as low as 33 MHz while another Party (Samoa) reported 800 MHz. Computer memory varied between 16 megabytes and 128 megabytes. Hard disk capacity varied between 540 megabytes and 13.5 gigabytes. Most computers ranged between 2 and 4 years of age.

7. Additional computer needs ranged from one to six computers, mainly to replace existing computers which are reported as being slow and unable to run current applications and models or to download documents from the Web. Parties indicated that the speed and capacity of most of these computers, as well as the slow Internet connections, did not facilitate downloading large files, including documents issued by the UNFCCC secretariat.

Software

8. While most Parties reported that they had word processing software, they specified the need for standard productivity software such as MS Office, MS Access, ER Mapper, Cosmic, Adobe Acrobat, Corel Draw and Foxpro. Others mentioned that specialized climate change software, such as DDSAT 3 for the assessment of impacts of climate change on crop production, WATBAL and CLIRUN for the assessment of impacts of climate change on hydrology and water resources and SPUR2 for the assessment of impacts of climate change on rangeland and livestock, would also be useful in conducting assessments related to the climate change process.

Peripherals (printers and fax machines)

9. Most Parties reported that the printers and fax machines used by the climate change unit belong to and were shared with the ministry or institution where these units are housed. Most (see table 4) reported having one printer while others such as Angola, the Republic of the

Gambia and Madagascar reported having five, six and ten printers respectively. Burkina Faso, Cambodia and Uganda reported having no printers available in their climate change units. Myanmar has one printer but requested a scanner.

10. Eleven Parties (see table 4) reported that a fax machine is not available in their climate change unit and requested one each. All other Parties had one machine each, which they reported as being sufficient for their use, but expressed the desire to have them replaced as most of them were more than four years old.

Internet

11. The average Internet connection set up cost reported by Parties varied between US$ 50 and US$ 2,000, while the average monthly cost for using the Internet varied between US$ 40 and US$ 1,073 (see table 5). The costs of setting up and running an Internet connection are high in most cases. Parties mentioned that adequate Internet connectivity is important for accessing UNFCCC documents and documentation related to climate change workshops and meetings of experts, as well as for accessing other information from relevant Web sites, such as those of the Intergovernmental Panel on Climate Change (IPCC), the Food and Agriculture Organization (FAO), and the World Health Organization (WHO). Parties noted that as a result of the high cost of Internet use, they have become more dependent on fax machines.

IV. ESTIMATION OF FUNDING NEEDS

A. Information technology needs

Estimated cost of providing each LDC Party with IT equipment: US$ 285,000

12. The estimated cost for providing a Party with one computer equipped with a laser printer, a modem for Internet connection, various software packages and a fax machine is approximately US$ 6,200. Costs in the Fonds francophone des inforoutes project[1] between L'Agence Internationale de la Francophonie and the UNFCCC secretariat have been used to prepare these estimates. This amount includes shipping costs but excludes country support services.

B. Negotiating and language skills needs

Estimated cost of conducting a workshop for negotiating skills: US$ 184,000

13. Estimates are based on costs from previous activities, assuming that there is one representative from each of the 46 least developed country Parties in addition to the resource persons and organizers. The estimate is based on an indicative total cost of US$ 4,000 per negotiator which includes travel, accommodation, per diem, organization costs, material and report preparation and distribution, and fees for the resource people who will provide expertise throughout the duration of the workshop as well as in preparing the presentations and simulations.

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[1] This project, still in its assessment (pilot) phase, envisages the provision of funding for IT resources and Internet connection for UNFCCC National Focal Points in 5 Francophone countries (all of which are LDCs) participating in the project. An "operating entity" is being sought for this project.

Estimated cost of a workshop on language skills for non-English speaking LDC negotiators : US$ 104,000

14. Cost estimates are based upon costs from previous activities. It is assumed that there is one representative from each of the non-English speaking least developed country Parties: 26 negotiators, in addition to the resource persons and organizers. The total cost of US$ 4,000 per negotiator is used which includes travel, accommodation, per diem, organization costs, material and report preparation and distribution, and fees for the resource people who will provide expertise throughout the duration of the workshop as well as in preparing the presentations and simulations.

C. Preliminary estimate of funding needed

15. Based on the assumptions made in this document on what would constitute a first step in addressing the institutional needs of the least developed countries, costs would amount to US$ 573,000. These include the following:

- Cost of providing one computer (hardware and software) to 46 LDC Parties: US$ 285,000
- Cost of one workshop for negotiating skills for all LDC Parties: US$ 184,000
- Cost of one workshop for language skills of non-English speaking LDC Parties: US$ 104,000

16. While the above estimate constitutes only one of many possible scenarios for a first step in addressing the institutional needs of the least developed countries, the Subsidiary Body for Implementation may wish to recommend further action as deemed necessary.

V. COMPILATION OF DATA

Table 1. Negotiating skills needs

NEGOTIATING SKILLS NEEDS	
COUNTRY	**Number of negotiators in need of negotiating skills training**
Angola	2
Benin	2
Bhutan	4
Burkina Faso	2
Burundi	5
Cambodia	5
Central African Republic	2
Comoros	3
Democratic Republic of the Congo	5
Djibouti	2
Eritrea	10
Ethiopia	10
The Gambia	15
Haiti	4
Kiribati	3
Lao People's Democratic Republic	5
Madagascar	4
Mali	8
Mauritania	4
Mozambique	3
Myanmar	5
Niger	1
Samoa	3
Sao Tome and Principe	3
Tuvalu	3
Uganda	1
United Republic of Tanzania	4
Yemen	2-4
Vanuatu	4

Source: Submissions by Parties

Table 2. English language training skills needs

ENGLISH LANGUAGE TRAINING SKILLS NEEDS	
COUNTRY	**Number of negotiators in need of English language training**
Angola	2
Benin	2
Burkina Faso	2
Burundi	4
Cambodia	5
Central African Republic	2
Comoros	3
Democratic Republic of the Congo	5
Djibouti	2
Haiti	4
Kiribati	3
Lao People's Democratic Republic	5
Madagascar	4
Mali	8
Mauritania	4
Mozambique	3
Myanmar	5
Niger	1
Sao Tome and Principe	3
Yemen	2-4

Source: Submissions by Parties

Table 3. Information technology needs/hardware

INFORMATION TECHNOLOGY NEEDS/ HARDWARE							
COUNTRY	Computers						
	Available						Number Needed
	Number	Processor Type	Processor Speed	Memory	Hard Disk	Age	
Angola	4	n.a.	n.a.	n.a.	n.a.	n.a.	1
Benin	1	n.a.	n.a.	n.a.	n.a.	2 years	4
Bhutan	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	4
Burkina Faso	1	Pentium II	266 MHz	32 MB	4.3 GB	2 years	3
Burundi	2	Pentium II	n.a.	n.a.	4.2 GB	4 years	4
		Desktop[1]	16 bit	n.a.	n.a.	6 years	
Cambodia	None	n.a.	n.a.	n.a.	n.a.	n.a.	5
Central African Republic	2	Pentium	n.a.	n.a.	n.a.	4 years	3
		Pentium MMX	233 MHz	n.a.	n.a.	3 years	
Comoros	1	Pentium II	n.a.	32 Mb	n.a.	2 years	3
Democratic Republic of the Congo	1	Pentium	360 MHz	n.a.	4 GB	3 years	3
Djibouti	1	Pentium II	350 MHz	64 MB	2 GB	2 years	2
Eritrea	1	Pentium III	n.a.	128 MB	13.5 GB	n.a.	6
Ethiopia	2	Pentium I	133 MHz	64 MB	n.a.	4 years	5
Gambia	7	Pentium laptop	300 MHz	64 MB	4 GB	2 years	11
		Pentium	n.a.	n.a.	8 GB	1 year	
		(5) 486	n.a.	16 MB	540 MB	7 years	
Haiti	3	Pentium II	266 MHz	64 MB ram	n.a.	3 years	5
		(2) Pentium notebook	200 MHz	32 MB	n.a.	3 years	
Kiribati	1	n.a.	n.a.	n.a.	n.a.	n.a.	1
Lao People's Democratic Republic	2	Pentium I		16 MB	n.a.	7 years	3
Madagascar	None	n.a.	n.a.	n.a.	n.a.	n.a.	5
Mali	None	n.a.	n.a.	n.a.	n.a.	n.a.	5
Mauritania	2	n.a.	n.a.	n.a.	n.a.	n.a.	3
Mozambique	1	Pentium II	350 MHz	32 MB	n.a.	2 years	2

n.a. indicates data not included in submissions

[1] Processor type not indicated

Table 3. Information technology needs/hardware (continued)

INFORMATION TECHNOLOGY NEEDS/ HARDWARE							
COUNTRY	**Computers**						
	Available						**Number Needed**
	Number	**Processor Type**	**Processor Speed**	**Memory**	**Hard Disk**	**Age**	
Myanmar	1	Pentium	133 MHz	16 MB	1607 MB	n.a.	3
Niger	1	Desktop[1]	n.a.	n.a.	n.a.	3 years	2
Samoa	2	Desktop[1]	800 MHz	n.a.	9.75 + 9.29 GB	3 years	2
		Laptop K6	200 MHz	n.a.	4.02 GB	3 years	
Sao Tome and Principe	1	Pentium II		64 MB	n.a.	4 years	2
Tuvalu	2	386	33 MHz	n.a.	n.a.	4 years	4
		386	32 MHz	n.a.	n.a.	1 year	
Uganda	None	n.a.	n.a.	n.a.	n.a.	n.a.	3
United Republic of Tanzania	1	n.a.	120 MHz	24 MB	1.5 GB	4 years	4
Yemen	2	Laptop[1]	n.a.	n.a.	n.a.	n.a.	7
		Desktop	n.a.	n.a.	n.a.	n.a.	
Vanuatu	1	Celeron	n.a.	n.a.	n.a.	n.a.	2

Source: Submissions by Parties
n.a. indicates data not included in submissions

[1] Processor type not indicated

Table 4. Information technology needs (printers and fax machines)

INFORMATION TECHNOLOGY NEEDS Printers and fax machines				
COUNTRY	**Printers**		**Fax machines**	
	Available	**Need**	**Available**	**Need**
Angola	5	n.a.	1	n.a.
Benin	1	4	none	n.a.
Bhutan	n.a.	2	1	1
Burkina Faso	enough	3	1	n.a.
Burundi	1	4	1	n.a.
Cambodia	none	2 to 3	none	n.a.
Central African Republic	2	3	1	1
Comoros	1	3	none	n.a.
Democratic Republic of the Congo	1	2	1	1
Djibouti	1	2	none	n.a.
Eritrea	2	6	1	n.a.
Ethiopia	1	2	none	n.a.
Gambia	6	11	1	1
Haiti	3	5	1	n.a.
Kiribati	2	n.a.	1	n.a.
Lao People's Democratic Republic	2	3	none	1
Madagascar	10	5	1	1
Mali	5	5	1	n.a.
Mauritania	1	3	1	1
Mozambique	1	2	1	n.a.
Myanmar	1	3	1	n.a.
Niger	3	2	1	n.a.
Samoa	1	2	1	n.a.
Sao Tome and Principe	n.a.	2	1	n.a.
Tuvalu	1	3	none	n.a.
Uganda	none	2	1	1
United Republic of Tanzania	1	3	none	n.a.
Yemen	2	1	none	1
Vanuatu	1	1	none	1

Source: Submissions by Parties
n.a. indicates data not included in submissions

Table 5. Information technology needs: Internet access

INFORMATION TECHNOLOGY NEEDS/ INTERNET ACCESS		
COUNTRY	**INTERNET COSTS**	
	Set-up cost (US dollars)	**Average monthly cost (US dollars)**
Angola	620	420
Benin	350	100
Bhutan	2,000	200
Burkina Faso	50	40
Burundi	65	150
Cambodia	100	60
Central African Republic	115	1,073
Comoros	50	100
Democratic Republic of the Congo	700	400
Djibouti	n.a.	85
Eritrea	200	500
Ethiopia	n.a.	500
Gambia	80	200
Haiti	200	50
Kiribati	100	400
Lao People's Democratic Republic	350	50
Madagascar	20	80
Mali	40	25
Mauritania	n.a.	n.a.
Mozambique	250	80
Myanmar	700	65
Niger	4	200
Samoa	100	100
Sao Tome and Principe	250	50
Tuvalu	56	150
Uganda	4,000	250
United Republic of Tanzania	n.a.	75
Yemen	1,500	200
Vanuatu	1,000	500

Source: Submissions by Parties
n.a. indicates data not included in submission

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FURTHER WORK CONCERNING LEAST DEVELOPED COUNTRIES

Workshop to develop draft guidelines for the preparation of national adaptation programmes of action

Note by the secretariat

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II Workshop to develop draft guidelines for the preparation of national adaptation programmes of action (NAPAs): Agenda 8

I. MANDATE

1. The Conference of the Parties, at its sixth session, requested the secretariat to organize a workshop involving six resource persons from least developed countries, in addition to other relevant experts, to develop draft guidelines for the preparation of national adaptation programmes of action, before the fourteenth sessions of the subsidiary bodies (FCCC/CP/2000/5/Add.2, para. 6 (a)).

2. The Government of Uganda offered to host the meeting, which was held at the Grand Imperial Hotel in Kampala and included representatives from least developed country Parties as well as other experts spanning different regions and diverse expertise.

3. Financial support for the organization of the workshop was provided by the Government of Canada through the Canadian International Development Agency.

II. SCOPE

4. This document describes the discussions that took place during the meeting, which centred around further elaborating the concept of national adaptation programmes of action (NAPAs), as well as the elements that should guide the process of their preparation. The summary of discussions is included in section III below. The draft guidelines agreed at the workshop are included in section IV. This document will serve as the basis for discussion, by the group of least developed countries, on NAPA guidelines during a two-day workshop to be held in Bonn immediately prior to the fourteenth sessions of the subsidiary bodies.

5. The agenda of the workshop is provided in annex I to this document.

III. WORKSHOP SUMMARY

6. Participants recalled that pursuant to recent proposals by the group of least developed countries, national adaptation programmes of action were to serve as a simplified channel for least developed countries (LDCs) to communicate their urgent and immediate needs relating to adaptation to climate change. Guidelines for the preparation of NAPAs should therefore be easy to follow, and should ensure that NAPAs were action-oriented, participatory and country driven. The guidelines should not be too prescriptive in order to allow for flexible procedures based on individual country circumstances. They would set clear priorities for urgent adaptation activities as identified by the countries, based on currently available information.

7. The rationale for developing NAPAs rests on the low adaptive capacity of LDCs, which renders them in need of immediate and urgent support to start adapting to current and projected adverse effects of climate change. Consequently, activities proposed through NAPAs would be those whose further delay would increase vulnerability, or lead to increased costs at a later stage.

8. Participants emphasized the importance of traditional and local knowledge and practices to deal with climate variability, and the fact that understanding these and promoting them at the grassroots level constituted an important component in enhancing the adaptive capacity of LDCs to the adverse effects of climate change.

9. Participants stressed that the preparation of NAPAs should be based on available information, and not be contingent on the preparation of further vulnerability assessments and methodological work if this is not already available.

10. It was agreed that the process of identification of adaptation needs should involve stakeholders at all levels.

11. Participants also indicated that the development of NAPAs could be aided by technical guidance and advice provided by the proposed LDC group of experts. This group of experts could also help in reviewing NAPA submissions, and in identifying regional synergies.

12. Where relevant, the expert group would also provide guidance on the identification of capacity building needs in relation to the development of NAPAs and their subsequent implementation, relying on additional experts as required.

13. The expert group could also assist in identifying sources of available information and data and their subsequent interpretation in support of NAPAs.

14. Participants noted that the development and implementation of NAPAs was contingent on the availability of adequate levels of resources. Such resources could come from a variety of sources including those identified in the UNFCCC and the Kyoto Protocol.

IV. DRAFT GUIDELINES

A. Structure of national adaptation programmes of action

15. The workshop proposed the following structure to be used as a basis for the preparation of NAPAs.

1. Introduction and setting

16. This introductory section would include background information about the area/region/country, which would help support the case for a NAPA. It would cover current characteristics, key environmental stresses, and how climate change and climate variability adversely impact on key sectors, regions and biophysical processes.

2. Framework for adaptation programme

17. This section would provide a brief overview of changes in climate and climate variability, and associated actual and potential impacts of climate change, based on existing studies, as well as empirical and historical data or knowledge.

18. Based on this overview, current adaptation processes would be identified, together with their limitations and scope for improvement.

3. Identification of key adaptation activities

19. Given the key sectors and areas at risk identified above, this section would identify relevant adaptation actions and strategies (which may include policy reform, and/or project level activities).

4. List of potential projects

20. This section would identify potential concrete projects based on the actions and strategies identified in paragraph 19 above.

5. Criteria for selecting priority activities

21. A set of locally driven criteria would be used to select priority adaptation activities from those identified under 4 above. Where possible, a description of the potential barriers to implementation should also be included. The criteria for prioritization would be based on the level or degree of impacts on:

(a) Life and livelihood;

(b) Human health;

(c) Food security and agriculture;

(d) Water availability, quality and accessibility;

(e) Essential infrastructure;

(f) Cultural heritage;

(g) Biological diversity;

(h) Land management;

(i) Other environmental amenities;

(j) Other socio-economic factors, especially poverty.

6. Programme development, institutional arrangement and endorsement

22. This section would briefly describe how the programme was arrived at, the process of consultation, the methods for evaluation and monitoring, the rationale for established institutional arrangements, and the mechanism of endorsement.

7. Project profiles

23. From the identified projects, the highest priorities would be selected and a limited number of project profiles would be developed for inclusion in the NAPA document. This could follow the format included in annex I below.

B. NAPA process

1. Guidance

24. The NAPA would be guided by the following:

(a) Participatory approach;

(b) Complementary approach, building upon existing plans and programmes (e.g. CCD-NAP, and CBD-NBSAP);

(c) Sustainable development;

(d) Gender equity;

(e) Country-driven approach;

(f) Environmental protection;

(g) Cost-effectiveness;

(h) Simplicity.

2. Institutional arrangements

25. The NAPA would be developed by a task group that would be composed of a lead agency and representatives of stakeholders including government agencies and civil society. This group would be constituted using an open and flexible process that would be inclusive and transparent.

26. The task group would organize a national (and or sub-national) consultative process to solicit inputs and proposal ideas in order to help develop a shortlist of potential NAPA projects. The task group would moderate this consultative process, and help translate ideas into project ideas. This process would allow adequate dialogue between the task group and the public, with time allowed for public comment and revisions.

3. Endorsement process

27. The NAPA document would be produced, adopted and endorsed through a national process.

28. The NAPA document would become a public document that would be disseminated in multiple forms and media, including translation into local languages where possible.

29. When interest has been expressed for specific project ideas (by a funding agency), the NAPA task group would identify the most effective means of developing full project proposals. This might include solicitation of project development funds to facilitate development of competitive proposals.

30. The process would allow periodic improvement and revision of the NAPA content as factors change.

Annex I

FORMAT FOR PROJECT PROFILES

1. **Title**

2. **Rationale/justification**
   Overview of impacts.

3. **Brief project description**
   Description of activities including major needs for implementation;
   Expected benefits (including assessment of impact of no-project);
   Co-benefits.

4. **Implementation**
   Specific institutional arrangements for the implementation of the project, including opportunities for regional cooperation;
   Implementation strategy including scheduling;
   Process for evaluation and monitoring (e.g. indicators and benchmarks);
   Indicative budget and resources.

(The length of each project profile should be limited to two pages.)

Annex II

WORKSHOP TO DEVELOP DRAFT GUIDELINES FOR THE PREPARATION OF NATIONAL ADAPTATION PROGRAMMES OF ACTION (NAPAs)

Grand Imperial Hotel
Kampala, Uganda
(25-27 April 2001)

Agenda

Day 1: 25 April 2001

8.30 – 10.00
Registration

10.00 – 10.40
- Opening ceremony

10.40 – 12.30
- Presentation on "Elements for the preparation of NAPAs", by Mr. Paul Desanker (Malawi)

12.30 – 13.00
- Presentation on PICCAP experience with the development of adaptation guidelines, by Mr. Neil de Wet (New Zealand)

13.00 – 14.30
Lunch

14.30 – 15.00
- Presentation on the experience of Bangladesh in identifying its adaptation needs, by Mr. Monirul Qader Mirza (Bangladesh)

15.00 – 18.00 *(including coffee break 16.00 – 16.20)*
- Further discussion on the presentations, and their implications for the preparation of guidelines

Day 2: 26 April

9.30 – 11.10
- Presentation on CCD-NAPs, by Ms. Jan Sheltinga, CCD secretariat

11.10 – 11.30
Coffee break

11.30 – 12.20
- Discussion on synergies among conventions

12.20 – 13.00
- Discussion on synergies among regions and subregions

13.00 – 14.30
Lunch

14.30 – 18.00 *(including coffee break 16.00 – 16.20)*
- Breakout groups to prepare first draft of elements for guidelines: Group A: on structure of NAPAs; and Group B: on process of preparation of NAPAs

Day 3: 27 April

9.30 – 12.30 *(including coffee break 11.00 – 11.20)*
- Presentation of draft guidelines for discussion
- Incorporation of amendments

12.30 – 14.00
Lunch

14.00 – 17.00
- Discussion on workshop outcome, and on follow-up action

17.00 – 17.30
- Closing ceremony

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